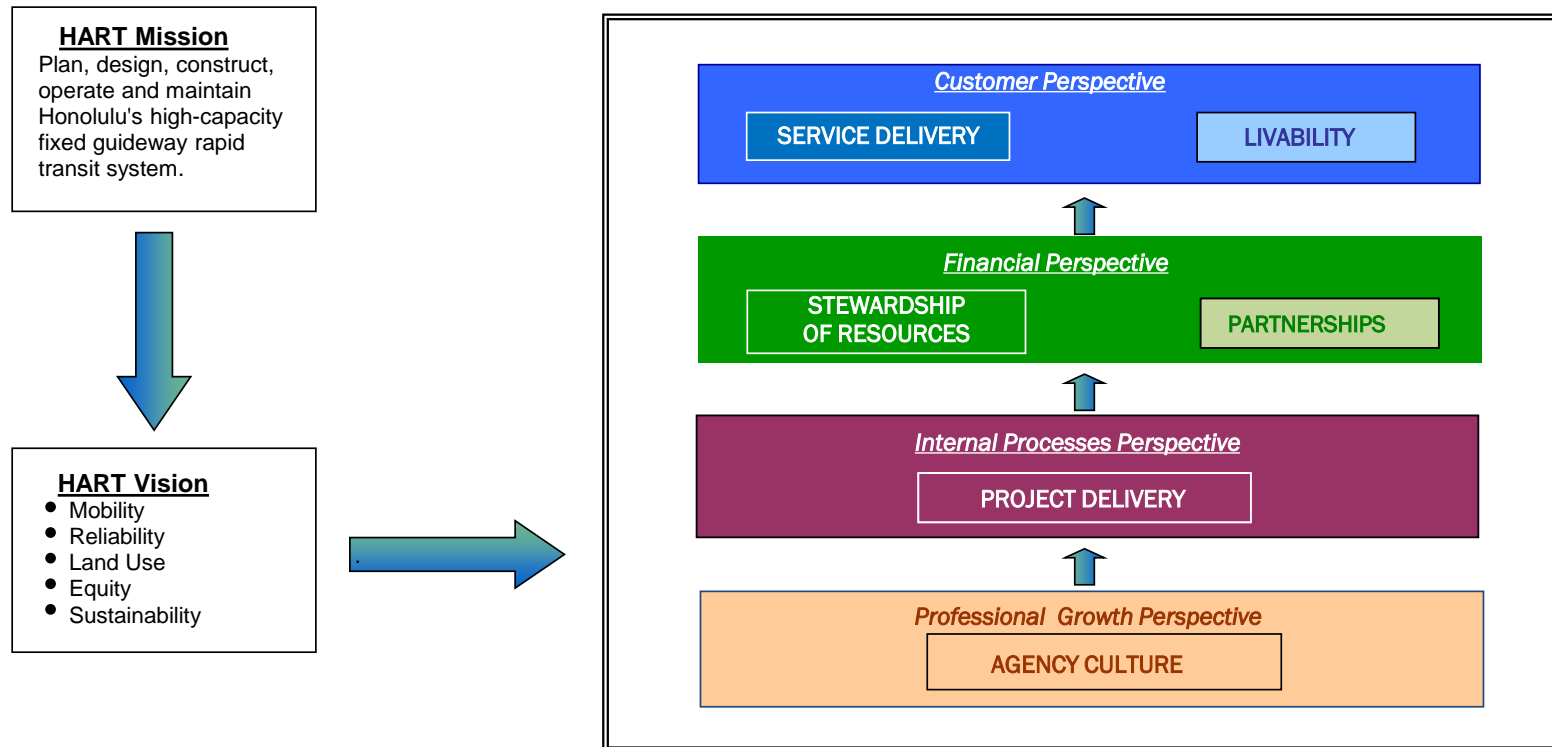


Business Strategy Map



Goal		Current Quarter (Q1 FY13)				Inception to Date				Total Project	Comments and Legend			
		July, August, September 2012				October 2009 - September 2012					<div>●</div> On track or ahead of plan.	<div>●</div> Immediate attention needed; Requires recovery/resolution.		
											<div>●</div> Monitoring.	<div>○</div> No current target/activity to date; Action pending.		
		Actual	Plan	Variance	Status	Actual	Plan	Variance	Status		<div>●</div> Monitoring; Requires special attention.	N/A Not Applicable.	TBD To be determined.	
Customer Perspective	SERVICE DELIVERY													
	Platform Gates				○				○	N/A	To be determined (TBD) in FY13.			
	Fare Collection System				○				○	N/A	TBD in FY13.			
	Bus-Rail Integration Plan				○				○	N/A	TBD in FY14.			
	HART Operating Organization Plan				○				○	N/A	TBD in FY14.			
	HART Service Policy/Standards				○				○	N/A	TBD in FY15.			
	LIVABILITY													
HART Sustainability Policy				○				○	N/A	TBD in FY13.				
Transit-Oriented Development (TOD) Policy				○				○	N/A	# TOD Plans being developed with the Department of Planning and Permitting (DPP).				
Financial Perspective	STEWARDSHIP OF RESOURCES													
	Programmatic Agreement (PA) [Positive = # above or added to Plan; Negative = # remaining]													
	Traditional Cultural Property (TCP) Studies	3	3	-0-	●	3	4	(1)	●	4	# Guideway Sections with TCP studies completed vs. planned. Sections 1-3 completed - State Historic Preservation Division (SHPD) approved TCP studies; Section 4 studies underway, completion expected in 2013 (completion of the City Center TCP work is a condition of the pending federal lawsuit).			
	Section I (WOFH) Archaeological Inventory Survey (AIS)	92	92	-0-	●	92	92	-0-	●	92	# trenches completed vs. planned. Section I AIS completed - SHPD accepted AIS Report April 19, 2010.			
	Section II (KHG) AIS	34	31	+3	●	34	31	+3	●	34	# trenches completed vs. planned. Section II AIS completed - SHPD accepted AIS Report on May 23, 2012.			
	Section III (Airport) AIS	17	40	(23)	●	22	40	(18)	●	40	# trenches completed vs. planned. Sections III and IV AIS work has been expedited since 8/24 with the current goal of completing 17 trenches per week overall. In the last week of September, 20 trenches were completed. Excavation is planned to be completed in December, plus 30 days to prepare and submit the AIS reports to the State Historic Preservation Division (SHPD) for 30-day review. AIS completion (SHPD approval of the AIS Reports) is planned for early 2013.			
	Section IV (City Center) AIS	42	40	+2	●	96	232	(136)	●	232				
	Overall AIS Completion (#)	----	----	N/A	●	244	395	(151)	●	398				
	Overall AIS Completion (%)	----	----	N/A	●	62%	----	N/A	●	62%				
	Archaeological Finds	1	----	N/A	●	2	----	N/A	●	N/A	# Archaeological Finds to date. On 9/12, a single human bone fragment was found during AIS excavation in the City Center guideway area of Kaka’ako. HART, SHPD and Oahu Island Burial Council (OIBC) officials examined the find on-site on 9/13. The Department of Land and Natural Resources (DLNR) stated that the bone fragment was in a non-burial context. SHPD and OIBC agreed to leave it in place and workers covered the trench with a steel plate while excavation work continued in the surrounding area. Further excavation of the site uncovered no other archaeological finds.			
	Burial Sites (‘iwi kūpuna)	0	----	N/A	●	0	----	N/A	●	N/A	# ‘iwi kūpuna sites identified in archaeological finds. No ‘iwi kūpuna have been identified to date.			
	Operating Budget [Negative = below Plan]													
	Operating Expenditures	\$3.7	\$5.3	(2)	●	N/A	N/A	N/A	●	N/A	\$M in Q1 FY13 Expenditures/Encumbrances vs. FY13 Operating Budget. For Current Quarter monitoring purposes: \$21M Total Budget/4 quarters = \$5.3M			
	Staffing Level	127	139	(12)	●	N/A	N/A	N/A	●	139	# Current HART Full-Time Equivalents (FTEs) vs. planned positions in the FY13 Operating Budget. 127 current FTEs = 101 City + 26 PMSC employees.			
	Capital Budget [Negative = below Plan]													
	Capital Expenditures/Encumbrances	\$47.7	\$492	----	●	N/A	N/A	N/A	●	N/A	\$M in Q1 FY13 Expenditures/Encumbrances in Current Quarter vs. Total FY13 Capital Budget of \$492M.			
	Revenues [Negative = below Plan]													
	Net GET Surcharge Receipts	\$47	----	N/A	●	\$527	\$684	(\$157)	●	\$3,291	\$M Net GET Surcharge Cash Receipts vs. projected FY10-13 cash revenue in FFGA Financial Plan (Table A-1). Receipt amounts exclude Starting Cash Balance of \$298M. Total Net GET Surcharge revenue forecast for FY10-23 is \$3,291M; received since inception of the surcharge on 1/1/07 is \$905.7M.			
	Federal Grant Funds	\$0	----	N/A	○	\$66	\$382	(\$316)	●	\$1,550	\$M FTA funds received (\$66M = \$62M §5309 New Starts + \$4M American Recovery and Reinvestment Act [ARRA]) vs. projected (\$382M = \$378M §5309 New Starts + \$4M ARRA) in FY10-13 in the FFGA Financial Plan, June 2012 (Table A-1). Total Federal funds forecast = \$1,550M §5309 + \$210M §5307 + \$4M ARRA (Table ES-1). The first increment of §5309 New Starts funding under the FFGA is \$255M.			

Goal		Current Quarter (Q1 FY13)				Inception to Date				Total Project	Comments and Legend		
		July, August, September 2012				October 2009 - September 2012					<div><div></div> On track or ahead of plan.</div> <div><div></div> Monitoring.</div> <div><div></div> Monitoring; Requires special attention.</div>	<div><div></div> Immediate attention needed; Requires recovery/resolution.</div> <div><div></div> No current target/activity to date; Action pending.</div> <div>N/A Not Applicable.</div> <div>TBD To be determined.</div>	
		Actual	Plan	Variance	Status	Actual	Plan	Variance	Status				
Financial Perspective (Cont'd)	PARTNERSHIPS												
	Joint Development Projects	1	----	N/A	<div></div>	1	1	-0-	<div></div>	N/A	# Joint Development Projects in progress vs. planned. Discussions continue with Hawai'i Community Development Authority (HCDA)-Kaka'ako and General Growth Properties-Ala Moana.		
	Transit-Oriented Development Projects	----	1	N/A	<div></div>	----	1	N/A	<div></div>	N/A	# TOD projects in development. On 9/21, HART and DPP held latest monthly TOD meeting to discuss transit station area development. On 9/25-26, DPP presented TOD draft plans at 2 Downtown and Kalihi community workshops on preferred development scenarios around 6 transit stations and opportunities for residential, commercial, industrial, waterfront and park uses and transportation, with the public encouraged to comment the plans.		
Internal Processes Perspective	PROJECT DELIVERY - OVERALL												
	Project Budget												
	FFGA Baseline Project Budget	----	----	N/A	<div></div>	\$5,122	\$5,122	-0-	<div></div>	\$5,122	\$M FFGA Baseline Project Budget (including contingencies and FTA-eligible finance charges), in accordance with FTA New Starts project guidelines.		
	Committed (\$)	\$91	----	----	<div></div>	\$2,171	\$2,372	(201)	<div></div>	\$4,406	\$M Total Committed (awarded Contract Values + approved Change Orders) this quarter and to date vs. the current Total FTA Project Budget, excluding remaining contingencies and finance charges.		
	Committed (%)	----	----	----	<div></div>	92%	----	N/A	<div></div>	N/A	% \$M Committed of the committed Baseline FFGA Project Budget.		
	Incurred (\$M)	\$63	----	----	<div></div>	\$509	\$750	(241)	<div></div>	\$4,406	\$M Incurred (Expenditures + approved Requests for Payment) this quarter and to date vs. the current Total FTA Project Budget, excluding remaining contingencies and finance charges.		
	Incurred (%)	8%	----	----	<div></div>	68%	----	----	<div></div>	N/A	% \$M Incurred (Expenditures + approved Requests for Payment) of the current Total FTA Project Budget, excluding remaining contingencies and finance charges.		
	Estimate at Completion (EAC)	----	----	----	<div></div>	\$5,122	\$5,122	-0-	<div></div>	\$5,122	\$M current vs. planned Estimate at Completion (EAC = contract values as budgeted or awarded + executed change orders + pending and potential changes).		
	Project Progress [Positive = ahead of Late Plan; Negative = behind Late Plan]												
	Overall Project Progress	----	----	----	<div></div>	9.3%	9.1%	+0.2%	<div></div>	N/A	% Complete of Final Design and Construction contracts (FD, DBB-DBOM design levels of effort and DB, DBB, DBOM and E/E construction) actual vs. late plan.		
	Overall Design Progress	----	----	----	<div></div>	34.1%	30.3%	+4%	<div></div>	N/A	% Complete of Final Design contracts & DB-DBOM design levels-of-effort actual vs. late plan. During the partial temporary suspension of work on ground-disturbing activities, HART is proceeding with final design and engineering activities on awarded contracts to position the project to continue construction once the suspension is lifted following AIS completion.		
	Overall Construction Progress	----	----	----	<div></div>	5.9%	6.7%	(0.8%)	<div></div>	N/A	% Completion of Construction (DB, DBB, DBOM & E/E) contracts vs. planned. On 8/24, HART issued a partial temporary suspension of work for all ground-disturbing activities. HART is evaluating the cost (including equipment, overhead and personnel costs) and schedule impacts of the work suspension with Design-Build Contractor Kiewit Infrastructure West Co. (KIWC) to develop and implement mitigation strategies. KIWC has released field personnel and reassigned staff to other projects.		
	Major Milestones [Negative = # days behind plan]												
	Entry into Final Design	----	----	N/A	<div></div>	Dec 29 '11	Oct 15 '11	(75)	<div></div>	N/A	Actual vs. planned date of FTA approval for HART to enter Final Design.		
	Letter of No Prejudice 2 (LONP2)	Feb 06 '12	Feb 06 '12	-0-	<div></div>	Feb 06 '12	Feb 06 '12	-0-	<div></div>	N/A	Actual vs. planned date of FTA Letter of No Prejudice #2 (LONP2) authorizing Final Design and Construction.		
	FFGA Letter of Request	Jun 29 '12	Jun 01 '12	(28)	<div></div>	Jun 29 '12	Jun 01 '12	(28)	<div></div>	N/A	Actual vs. planned date of HART letter to FTA requesting entry into a Full Funding Grant Agreement (FFGA)		
	Start of Congressional Review	----	----	N/A	<div></div>	----	Aug 15 '12	----	<div></div>	N/A	Actual vs. planned start date of Congressional review of HART FFGA request.		
	FFGA Approval	----	----	N/A	<div></div>	----	Oct 07 '12	----	<div></div>	N/A	Actual vs. planned date of FTA letter to HART approving FFGA request.		
	Contingency												
	Cost Contingency	\$644	\$644	-0-	<div></div>	\$644	\$644	-0-	<div></div>	N/A	\$M Total Project Cost Contingency vs. the FFGA Baseline Total Project Contingency Budget. The current Total Available Budget Contingency is \$717.5M (including Pending and Known Change contingency).		
	Schedule Contingency	20	20	-0-	<div></div>	20	20	-0-	<div></div>	N/A	# Months Total Buffer Float used vs. planned in the Draft FFGA Risk and Contingency Management Plan [RCMP], June 2012 (Table 6-2).		

Goal		Current Quarter (Q1 FY13)				Inception to Date				Total Project	Comments and Legend					
		July, August, September 2012				October 2009 - September 2012					On track or ahead of plan.			Immediate attention needed; Requires recovery/resolution.		
		October 2009 - September 2012				Monitoring.			No current target/activity to date; Action pending.							
		Actual	Plan	Variance	Status	Actual	Plan	Variance	Status		Monitoring; Requires special attention.			N/A Not Applicable. TBD To be determined.		
Internal Processes Perspective (Continued)	PROJECT DELIVERY - SPECIFICS															
	Contracting - Construction (DB, DBOM and Elevators/Escalators) [Negative = below plan/budget]															
	Contracts Awarded	0	0	N/A	●	4	4	0	●	5	# Contracts awarded vs. planned. Elevator/Escalator (E/E) contract award is expected in FY13.					
	Committed (Contract Values + Executed Changes)	----	----	N/A	○	94%	100%	(6%)	●	N/A	% \$M Committed (\$1,657 M) of baseline budget (\$1,771 M) not including contingencies.					
	Contracts Completed	0	0	N/A	○	0	0	-0-	○	N/A	# Contracts completed vs. planned.					
	Contracting - Construction (DBB) [Negative = below plan/budget]															
	Contracts Awarded	0	0	N/A	○	0	0	-0-	○	11	# Contracts awarded vs. planned. The first of 11 planned DBB construction contracts is scheduled to be awarded in Q4 FY13. (To be re-packaged; Will reduce to 8.)					
	Committed (Contract Values + Executed Changes)	----	----	N/A	○	0%	0%	-0-	○	N/A	% \$M Committed (\$0 M) vs. baseline budget (\$1,237 M) not including contingencies.					
	Contracts Completed	0	0	N/A	○	0	0	-0-	○	N/A	# Contracts completed vs. planned.					
	Contracting - Final Design Consultants [Negative = below plan/budget]															
	Contracts Awarded	1	1	-0-	●	4	4	-0-	●	10	# Contracts awarded vs. planned. The City Center Section Guideway and Utilities Final Design contract (FD-530) was awarded to AECOM Technical Services, Inc. on 7/30. (To be re-packaged; Will reduce to 9.)					
	Committed (Contract Values + Executed Changes)	----	----	N/A	○	98%	100%	(2%)	●	N/A	% \$M Committed (\$99M) vs. baseline budget (\$101M) not including contingencies.					
	Contracts Completed	0	0	N/A	○	0	0	N/A	○	N/A	# Contracts completed vs. planned.					
	Contracting - Other Consultants [Negative = below plan/budget]															
	Contracts Awarded	1	1	-0-	●	13	13	-0-	●	23	# Contracts for Consultant Services other than for final design, construction or insurance awarded this quarter and to date vs. planned, including: 6 for Construction Engineering and Inspection Services, 4 for Project Management (2 Program Management Oversight Consultant + 2 General Engineering Consultant), 4 for Specialty Consulting (Real Estate, Kako’o, Owner-Controlled Insurance Program [OCIP] and LEED MSF Commissioning Consultants), 5 for HDOT Consultant Services and 2 for On-Call for Construction and HazMat Removal consulting. The first CE&I contract will not be awarded until August 2013. The On-Call HazMat Removal Consultant contract (MM-946) was awarded to CH2M Hill on 8/23. (To be re-packaged; Will reduce to 21.)					
	Committed (Contract Values + Executed Changes)	----	----	N/A	○	62%	100%	(38%)	●	N/A	% \$M Committed (\$344 M) vs. baseline budget (\$554 M).					
	Contracts Completed	2	2	-0-	●	2	2	-0-	●	N/A	# Contracts completed vs. planned. PMSC-1 and GEC-1 have been completed and are being closed out.					
	Change Orders and Claims															
	Change Orders (#)	11	----	N/A	●	14	----	N/A	●	N/A	# Change Orders executed this quarter (11 Construction [WOFH DB-120] + 0 Final Design) vs. to date (12 Construction [WOFH DB-120] + 2 Final Design [FHSG FD-240]).					
	Change Orders (\$)	\$14	----	N/A	●	\$35	----	N/A	●	N/A	\$M Change Orders executed this quarter (\$13.5 M Construction [WOFH DB-120] + \$0 Final Design) vs. to date (\$32.5 M Construction [WOFH DB-120] + \$2.5 M for Final Design [FHSG FD-240]).					
	Claims Filed	0	0	N/A	○	0	0	N/A	○	N/A	# Claims filed vs. anticipated.					
	Claims Resolved	0	0	N/A	○	0	0	N/A	○	N/A	# Claims resolved vs. filed.					
	Utility & HDOT Agreements [Negative = # remaining]															
	Utility Agreements	1	----	N/A	○	25	26	(1)	●	----	# Utility Agreements completed vs. required. The Interim Bridging Agreement for Airport was executed in October and the City Center draft is under HECO review. Completion of 45 agreements by the end of Q1 FY13 is planned.					
	HART-HDOT Agreements	----	----	N/A	○	3	13	(10)	●	----	# HDOT Agreements completed vs. required. Of the 4 Master Agreements required, 1 (WOFH) has been completed. Of the 4 Joint Use and Occupancy (JU&O) Agreements required, 1 (WOFH) has been completed, as amended. The KHG Master and JU&O Agreements remain to be executed.					

Goal		Current Quarter (Q1 FY13)				Inception to Date				Total Project	Comments and Legend		
		July, August, September 2012				October 2009 - September 2012							
		Actual	Plan	Variance	Status	Actual	Plan	Variance	Status				
Internal Processes Perspective (Continued)	Real Estate/Right-of-Way (ROW) [Negative = # remaining]												
	Full Acquisitions	0	0	-0-	●	19	38	(19)	●	38	# Properties fully acquired ready for construction this quarter and to date vs. planned. No full acquisition was recorded in Q1 FY13.		
	Expenditures for Full Acquisitions	\$0	----	N/A	●	\$29	\$29	-0-	●	----	\$M in expenditures recorded for full acquisitions vs. planned in the FFGA Budget. Securing of right-of-way and all required permits continues during the partial temporary suspension of work on ground-disturbing activities.		
	Partial Acquisitions	0	133	(133)	●	7	133	(126)	●	133	# Properties partially acquired ready for construction this quarter and to date vs. planned.		
	Safety [lower Actual = favorable vs. Hawaii standard]												
	Performance against Standard	0.2	4.3	----	●	0.2	4.3	----	●	4.3	Incidence rate of Recordable Injuries and Illnesses vs. the Hawaii 2010 Total Recordable Incidence Rate (TRIR). Federal regulations define the Incidence Rate as the # of recordable injuries and illnesses occurring amongst a given # of full-time workers (usually 100) over a given period of time (usually 1 year). A Recordable Incident is a work-related injury or illness that results in: death, loss of consciousness, days away from work, restricted work activity or job transfer, or medical treatment beyond first aid. (29 CFR 1904).		
	OSHA Reportable Injuries	1	----	----	●	4	----	----	●	N/A	# Occupational Safety and Health Agency (OSHA) Reportable Injuries to date.		
	OSHA Violations	0	----	----	●	0	----	----	●	N/A	# OSHA violations to date.		
	Safety Certification Checklists	----	----	N/A	○	----	----	----	○	N/A	# Safety Certification Checklists completed vs. planned.		
	Quality Assurance (QA)												
	QA Audits	4	4	-0-	●	8	8	-0-	●	N/A	# QA Audits of HART, GEC, contractors and suppliers completed vs. planned.		
	Design NCRs	6	7	(1)	●	6	7	(1)	●	N/A	# Design Non-Conformance Reports (NCRs) closed vs. issued.		
	Construction NCRs	----	----	N/A	○	----	----	N/A	○	N/A	# Construction NCRs closed vs. issued.		
	Economic Multipliers [Negative = below plan]												
	DBE/SBE Participation	0.1%	3.8%	(3.7%)	●	0.1%	3.8%	(3.7%)	●	3.8%	Actual vs. target participation rate of Disadvantaged/Small Business Enterprises (DBE/SBE).		
	Direct Jobs Created	----	----	----	○	----	----	----	○	N/A	# Direct jobs created. Projections and criteria to be developed.		
	Public Outreach												
	Neighborhood Board Meetings	34	----	N/A	●	708	----	N/A	●	N/A	# Neighborhood Board Meetings in which HART has participated to date.		
	Presentations/ Events	52	----	N/A	●	1,352	----	N/A	●	N/A	# Events in which HART has participated to date.		
Professional Growth Perspective	AGENCY CULTURE												
	Staff Training and Career Development Program												
	Training Opportunities				○				○	N/A	# Training opportunities provided to HART staff vs. planned. Annual Training Plan to be developed.		
	Employees Trained				○				○	N/A	# HART Employees (including PMSC) who have received professional training. Objective to be established.		
	Internal Promotions												
	Internally-Filled Positions	1	0	+1	●	1	0	+1	●	TBD	% of positions filled that have been filled internally. Objective to be established. The latest Staffing and Succession Plan is Revision 5 of May 25, 2012.		
	PMSC/GEC Phase-Out												
	Positions Transitioned to HART	2	0	+2	●	3	0	+3	●	TBD	# Positions transitioned from PMSC to HART vs. planned in the HART Business Plan. TBD. The latest Staffing and Succession Plan is Revision 5 of May 25, 2012.		
	Employee Satisfaction												
	Surveys	0	0	N/A	○	0	0	N/A	○	TBD	# Employee surveys conducted to date vs. planned. Plan to be developed.		